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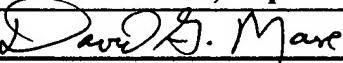
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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

<b>APPLICATION ELEMENTS</b> <i>See MPEP chapter 600 concerning utility patent application contents.</i>		<b>Attorney Docket No.</b> 20-LC-120409 (330) <b>First Inventor</b> Theodore Clark Brown <b>Title</b> LOCOMOTIVE BRAKE RESISTOR COOLING APPARATUS <b>Express Mail Label No.</b> EV 042479619 US	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small> 2. <input type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small> 3. <input checked="" type="checkbox"/> Specification [Total Pages <b>13</b> ] [ <small>(preferred arrangement set forth below)</small> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings ( <i>if filed</i> ) - Detailed Description - Claim(s) - Abstract of the Disclosure  4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [ Total Sheets <b>3</b> ]  5. Oath or Declaration [ Total Pages <b> </b> ] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <small>(for continuation/divisional with Box 18 completed)</small> i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>  6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231  7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program ( <i>Appendix</i> ) 8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies	
<b>ACCOMPANYING APPLICATION PARTS</b> <ul style="list-style-type: none"> <li>9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</li> <li>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of  <small>(when there is an assignee)</small> <input type="checkbox"/> Attorney</li> <li>11. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)</li> <li>12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS  <small>Citations</small></li> <li>13. <input type="checkbox"/> Preliminary Amendment</li> <li>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)  <small>(Should be specifically itemized)</small></li> <li>15. <input type="checkbox"/> Certified Copy of Priority Document(s)  <small>(if foreign priority is claimed)</small></li> <li>16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122  <small>(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</small></li> <li>17. <input type="checkbox"/> Other: _____</li> </ul>			
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-In-part (CIP) <input type="checkbox"/> of prior application No.: _____ / _____ <small>Prior application information:</small> Examiner _____ Group Art Unit _____			
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
19. CORRESPONDENCE ADDRESS			
<input checked="" type="checkbox"/> Customer Number or Bar Code Label		 <small>(Insert Customer No. or Bar Code Label here)</small>	
or <input type="checkbox"/> Correspondence address below			
Name <b>29391</b>		PATENT TRADEMARK OFFICE	
Address		State _____ Zip Code _____	
City _____		Telephone <b>407-926-7704</b> Fax <b>407-926-7720</b>	
Country <b>USA</b>		Registration No. (Attorney/Agent) <b>34,865</b>	
Name (Print/Type) <b>David G. Maire, Esq.</b>		Date <b>2/13/2002</b>	
Signature 			

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02/13/2002

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 864.00)

## Complete If Known

Application Number	Not Assigned
Filing Date	Simultaneous Herewith
First Named Inventor	Theodore Clark Brown
Examiner Name	Not Assigned
Group Art Unit	Not Assigned
Attorney Docket No.	20-LC-120409 (330)

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **07-0846**  
Deposit Account Name **General Electric Company**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee		<b>740.00</b>	
106 310	206 155	Design filing fee			
107 480	207 240	Plant filing fee			
108 690	208 345	Reissue filing fee			
114 150	214 75	Provisional filing fee			
<b>SUBTOTAL (1) (\$ 740.00)</b>					

## 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	<b>18</b>	-20** = <b>0</b>	= <b></b>
Independent Claims	<b>4</b>	- 3** = <b>1</b>	<b>84.00</b> - <b>84.00</b>
Multiple Dependent			

\*or number previously paid, if greater; For Reissues, see below

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20		
102 78	202 39	Independent claims in excess of 3		
104 260	204 130	Multiple dependent claim, if not paid		
109 78	209 39	" Reissue independent claims over original patent		
110 18	210 9	" Reissue claims in excess of 20 and over original patent		
<b>SUBTOTAL (2) (\$ 84.00)</b>				

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath			
127 50	227 25	Surcharge - late provisional filing fee or cover sheet			
139 130	139 130	Non-English specification			
147 2,520	147 2,520	For filing a request for ex parte reexamination			
112 920*	112 920*	Requesting publication of SIR prior to Examiner action			
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action			
115 110	215 55	Extension for reply within first month			
116 380	216 190	Extension for reply within second month			
117 670	217 435	Extension for reply within third month			
118 1,360	218 680	Extension for reply within fourth month			
128 1,850	228 925	Extension for reply within fifth month			
119 300	219 150	Notice of Appeal			
120 300	220 150	Filing a brief in support of an appeal			
121 260	221 130	Request for oral hearing			
138 1,510	138 1,510	Petition to institute a public use proceeding			
140 110	240 55	Petition to revive - unavoidable			
141 1,210	241 605	Petition to revive - unintentional			
142 1,210	242 605	Utility issue fee (or reissue)			
143 430	243 215	Design issue fee			
144 580	244 290	Plant issue fee			
122 130	122 130	Petitions to the Commissioner			
123 50	123 50	Petitions related to provisional applications			
126 240	126 240	Submission of Information Disclosure Stmt			
581 40	581 40	Recording each patent assignment per property (times number of properties)			
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))			
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))			
179 690	279 345	Request for Continued Examination (RCE)			
169 900	169 900	Request for expedited examination of a design application			
Other fee (specify) _____					
* Reduced by Basic Filing Fee Paid				<b>SUBTOTAL (3) (\$ 40.00)</b>	
40.00					

## SUBMITTED BY

Name (Print/Type)	David G. Maire	Registration No. (Attorney/Agent)	34,865	Telephone	407-926-7704
Signature	<i>David G. Maire</i>			Date	2/13/2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Application of

Applicants: Theodore Clark Brown

Application No.: Not Assigned

Filing Date: Simultaneously Herewith

For: LOCOMOTIVE BRAKE  
RESISTOR COOLING  
APPARATUS

Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

**EXPRESS MAIL # EV 042479619 US**

**Date of Deposit: February 13, 2002**

I hereby certify that the attached patent application, formal papers and drawings were deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner for Patents Washington, D.C. 20231.

Respectfully submitted,



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& Wolter, PA  
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